

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

APPLICANT(S): Brady et al.  
SERIAL NO.: Not Yet Assigned GROUP NO.: Not Yet Assigned  
FILING DATE: October 21, 2003 EXAMINER: Not Yet Assigned  
TITLE: Methods and Systems for Analyzing Security Events

Mail Stop Patent Application  
Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

INFORMATION DISCLOSURE STATEMENT

Sir:

In accordance with the provisions of 37 C.F.R. 1.97 and 1.98, Applicants hereby make of record the patents and publications listed on the accompanying Form PTO-1449, and other information contained herein, for consideration by the Examiner in connection with the examination of the above-identified patent application. Copies of the patents and publications are enclosed.

REMARKS

In accordance with the provisions of 37 C.F.R. 1.97, this statement is being filed (CHECK ONE):

- ☒ (1) within three (3) months of the **filing date** of a national application other than a continued prosecution application under 37 C.F.R. 1.53(d), or within three (3) months of the **date of entry of the national stage** as set forth in 37 C.F.R. 1.491 in an international application, or before the mailing of the **first Office action** on the merits, or before the mailing of a **first Office action** after the filing of a request for continued examination under 37 C.F.R. 1.114; or
- ☐ (2) after the period defined in (1) but before the mailing date of a **final action** or a **notice of allowance** under 37 C.F.R. 1.311, and
- ☐ the requisite Statement is below, **OR**
- ☐ the requisite fee under 37 C.F.R. 1.17(p), namely **\$180.00**, is included herein, or

- ☐ (3) after the mailing date of a **final action** or **notice of allowance** but before the payment of the **issue fee**, **AND**
- ☐ the requisite Statement is below, **AND**
- ☐ the requisite petition fee under 37 C.F.R. 1.17(p), namely **\$180.00** is included herein.

It is respectfully requested that each of the patents and publications listed on the attached Form PTO-1449, and other information contained herein, be made of record in this application.

### STATEMENT

As required under 37 C.F.R. 1.97(e), Applicant(s), through the undersigned, hereby state either that [check the appropriate space only if either (2) or (3) is checked on the previous page and the Statement is required]:

- ☐ 1. Each item of information contained in the Information Disclosure Statement was first cited in any communication from a foreign patent office in a counterpart foreign application **not more than three months** prior to the filing of the Information Disclosure Statement; or
- ☐ 2. No item of information contained in the Information Disclosure Statement was cited in a communication from a foreign patent office in a counterpart foreign application, and, to the knowledge of the person signing this Statement after making reasonable inquiry, no item of information contained in the Information Disclosure Statement was known to **any individual** designated in 37 C.F.R. 1.56(c) **more than three months** prior to the filing of the Information Disclosure Statement.

Respectfully submitted,



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<b>FORM PTO – 1449</b>				<b>ATTORNEY DOCKET NO.: GUA-001</b>			
<b>INFORMATION DISCLOSURE STATEMENT</b>				<b>APPLICANT(S): Brady et al.</b>			
				<b>SERIAL NO.: Not Yet Assigned</b>			
				<b>FILING DATE: October 21, 2003</b>			
<b>U.S. PATENT DOCUMENTS</b>							
<b>EXAM. INIT.</b>		<b>DOCUMENT NUMBER</b>	<b>DATE</b>	<b>NAME</b>	<b>CLASS</b>	<b>SUB CLASS</b>	<b>FILING DATE IF APPROPRIATE</b>
	A1	5,557,798	09/17/96	Skeen et al.	395	650	
	A2	5,724,425	03/03/98	Chang et al.	380	25	
	A3	5,892,903	04/06/99	Klaus	395	187.01	
	A4	5,924,094	07/13/99	Sutter	707	10	
	A5	6,088,804	07/11/00	Hill et al.	713	201	
	A6	6,256,664 B1	07/03/01	Donoho et al.	709	204	
	A7	6,263,362 B1	07/17/01	Donoho et al.	709	207	
	A8	6,301,668 B1	10/09/01	Glechauf et al.	713	201	
	A9	6,311,278 B1	10/30/01	Raanan et al.	713	201	
	A10	6,321,338 B1	11/20/01	Porras et al.	713	201	
	A11	6,324,656 B1	11/27/01	Glechauf et al.	714	37	
	A12	6,332,163 B1	12/18/01	Bowman-Amuah	709	231	
	A13	6,347,374 B1	02/12/02	Drake et al.	713	200	
	A14	6,363,411 B1	03/26/02	Dugan et al.	709	202	
	A15	6,425,017 B1	07/23/02	Dievendorff et al.	709	315	
	A16	US2002/0078381 A1	06/20/02	Farley et al.	713	201	
	A17	US2002/0083341 A1	06/27/02	Feuerstein et al.	713	201	
	A18	US2002/0083344 A1	06/27/02	Vairavan	713	201	
	A19	US2002/0104017 A1	08/01/02	Stefan	713	201	
	A20	US2002/0144156 A1	10/03/02	Copeland, III	713	201	
<b>EXAMINER</b>				<b>DATE CONSIDERED</b>			

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<b>FOREIGN PATENT DOCUMENTS</b>									
<b>EXAM. INIT.</b>		<b>DOCUMENT NUMBER</b>	<b>DATE</b>	<b>COUNTRY CODE</b>	<b>CLASS</b>	<b>SUB CLASS</b>	<b>FILING DATE</b>	<b>ABSTRACT ONLY</b>	<b>ENGLISH LANG (Y/N)</b>
<b>OTHER ART, JOURNAL ARTICLES, ETC.</b>									
<b>EXAM. INIT.</b>	<b>OTHER DOCUMENTS: (Including Author, Title, Date, Relevant Pages, Place of Publication)</b>								
	C1	Chakravarthy et al. "WebVigil: An Approach to Just-In-Time Information Propagation in Large Network-Centric Environments" pgs. 1-12							
	C2	Cisco Systems, Inc. "Networkers"							
	C3	Roberto Nibali, "Introduction to Network-Based Intrusion Detection Systems Using Snort," UnixReview.com, <a href="http://www.unixreview.com/documents/s=1234/urm0106j/0106j.htm">http://www.unixreview.com/documents/s=1234/urm0106j/0106j.htm</a>							
<b>EXAMINER</b>					<b>DATE CONSIDERED</b>				

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